

For receiving Office use only	
International Application No.	
	-
International Filing Date	
Name of receiving Office and "PCT International App	dication"

REQUEST The undersigned requests that the present international application be processed according to the Patent Cooperation Treaty. Applicant's or agent's file reference (if desired) (12 characters maximum) NEB-198-PCT Box No. I TITLE OF INVENTION ALTERATION OF RESTRICTION ENDONUCLEASE SPECIFICITY BY CENETIC SELECTION Box No. II APPLICANT This person is also inventor Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country. The country of the address indicated in this Box is the applicant's State (that is, country) of residence if no State of residence is indicated below.) Telephone No. (978) 927-5054 Facsimile No. NEW ENGLAND BIOLABS, INC. (978) 927-1705 32 Tozer Road Teleprinter No. Beverly, Massachusetts 01915 United States of America Applicant's registration No. with the Office State (that is, country) of nationality: State (that is, country) of residence: US the States indicated in This person is applicant all designated all designated States except the United States of America the United States the Supplemental Box of America only for the purposes of: States Box No. III FURTHER APPLICANT(S) AND/OR (FURTHER) INVENTOR(S) Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country. The country of the address indicated in this This person is: Box is the applicant's State (that is, country) of residence if no State of residence is indicated below.) applicant only SAMUELSON, James C. applicant and inventor 19 Garden Street inventor only (If this check-box Apartment #202 is marked, do not fill in below.) Danvers, Massachusetts 01923 Applicant's registration No. with the Office United States of America State (that is, country) of nationality: State (that is, country) of residence: US IIS This person is applicant all designated the United States the States indicated in the Supplemental Box all designated States except for the purposes of: of America only Further applicants and/or (further) inventors are indicated on a continuation sheet. AGENT OR COMMON REPRESENTATIVE; OR ADDRESS FOR CORRESPONDENCE The person identified below is hereby/has been appointed to act on behalf common agent Х representative of the applicant(s) before the competent International Authorities as: Name and address: (Family name followed by given name; for a legal entity, full official designation. Telephone No. The address must include postal code and name of country.) (978) 927-5054 X:373 Facsimile No. STRIMPEL, Harriet M. (978) 927-1705 Patent Counsel New England Biolabs, Inc. Teleprinter No. 32 Tozer Road Beverly, Massachusetts 01915 Agent's registration No. with the Office United States of America 37008

Address for correspondence: Mark this check-box where no agent or common representative is/has been appointed and the space above is used instead to indicate a special address to which correspondence should be sent.

Sheet No. . 2...

Continuation of Box No. III FURTHER APPLICANT(S) AN	D/OR (FURTHER) INVENTOR(S)	
If none of the following sub-boxes is used, this sheet should not b	e included in the request.	
Name and address: (Family name followed by given name: for a legal entity,) The address must include postal code and name of country. The country of the a Box is the applicant's State (that is, country) of residence if no State of residence is XU, Shuang-yong 15 Carol Lane Lexington, Massachusetts 02420	address indicated in this	: <i>)</i>
State (that is, country) of nationality:	State (that is, country) of residence:	
CN -	US	
This person is applicant for the purposes of: all designated States all designated States all designated States	tates except X the United States the States indicates of America only the Supplement	
Name and address: (Family name followed by given name; for a legal entity, The address must include postal code and name of country. The country of the a Box is the applicant's State (that is, country) of residence if no State of residence is	address indicated in this	v.)
State (that is, country) of nationality:	State (that is, country) of residence:	
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Name and address: (Family name followed by given name; for a legal entity, The address must include postal code and name of country. The country of the e Box is the applicant's State (that is, country) of residence if no State of residence is	address indicated in this	w.)
State (that is, country) of nationality:	State (that is, country) of residence:	
This person is applicant all designated for the purposes of:		
Name and address: (Family name followed by given name; for a legal entity, The address must include postal code and name of country. The country of the Box is the applicant's State (that is, country) of residence if no State of residence.	address indicated in this	w.)
State (that is, country) of nationality:	State (that is, country) of residence:	
This person is applicant all designated for the purposes of: all designated the United States.	States except the United States the States ind the Supplementary the States and the Supplementary the States and States are supplementary to the States and States are supplementary to the States and States are supplementary to the States are supplementary	icated in
Further applicants and/or (further) inventors are indicated on	another continuation sheet.	

Supplemental Box

If the Supplemental Box is not used, this sheet should not be included in the request.

- If, in any of the Boxes, except Boxes Nos. VIII(i) to (v) for which a special continuation box is provided, the space is insufficient to furnish all the information: in such case, write "Continuation of Box No..." (indicate the number of the Box) and furnish the information in the same manner as required according to the captions of the Box in which the space was insufficient, in particular:
- (i) if more than two persons are to be indicated as applicants and/or inventors and no "continuation sheet" is available: in such case, write "Continuation of Box No. III" and indicate for each additional person the same type of information as required in Box No. III. The country of the address indicated in this Box is the applicant's State (that is, country) of residence if no State of residence is indicated below:
- (ii) if, in Box No. II or in any of the sub-boxes of Box No. III, the indication "the States indicated in the Supplemental Box" is checked: in such case, write "Continuation of Box No. II" or "Continuation of Boxes No. II and No. III" (as the case may be), indicate the name of the applicant(s) involved and, next to (each) such name, the State(s) (and/or, where applicable, ARIPO, Eurasian, European or OAPI patent) for the purposes of which the named person is applicant;
- (iii) if, in Box No. II or in any of the sub-boxes of Box No. III, the inventor or the inventor/applicant is not inventor for the purposes of all designated States or for the purposes of the United States of America: in such case, write "Continuation of Box No. II" or "Continuation of Box No. III" or "Continuation of Boxes No. II and No. III" (as the case may be), indicate the name of the inventor(s) and, next to (each) such name, the State(s) (and/or, where applicable, ARIPO, Eurasian, European or OAPI patent) for the purposes of which the named person is inventor;
- (iv) if, in addition to the agent(s) indicated in Box No. IV, there are further agents: in such case, write "Continuation of Box No. IV" and indicate for each further agent the same type of information as required in Box No. IV;
- (v) if, in Box No. V, the name of any State (or OAPI) is accompanied by the indication "patent of addition," or "certificate of addition," or if, in Box No. V, the name of the United States of America is accompanied by an indication "continuation" or "continuation-in-part": in such case, write "Continuation of Box No. V" and the name of each State involved (or OAPI), and after the name of each such State (or OAPI), the number of the parent title or parent application and the date of grant of the parent title or filing of the parent application.
- (vi) if, in Box No. VI, there are more than five earlier applications whose priority is claimed: in such case, write "Continuation of Box No. VI" and indicate for each additional earlier application the same type of information as required in Box No. VI.
- If, with regard to the precautionary designation statement contained in Box No. V, the applicant wishes to exclude any State(s) from the scope of that statement: in such case, write "Designation(s) excluded from precautionary designation statement" and indicate the name or two-letter code of each State so excluded.

CONTINUATION OF BOX IV

WILLIAMS, Gregory D.
General Counsel
New England Biolabs, Inc.
32 Tozer Road
Beverly, Massachusetts 01915
United States of America

Во	k No.	V DESIGNATION OF STATES	. •	Mo	ark the applicable check-boxes below:	at le	ast c	one must be marked		
The	folio	owing designations are hereby made t	ınde	r Ru	le 4.9(a):					
Re	gion	al Patent								
		ARIPO Patent: GH Ghana, GM Gambia, KE Kenya, LS Lesotho, MW Malawi, MZ Mozambique, SD Sudan. SL Sierra Leone, SZ Swaziland, TZ United Republic of Tanzania, UG Uganda, ZM Zambia, ZW Zimbabwe, and any other State which is a Contracting State of the Harare Protocol and of the PCT (if other kind of protection or treatment desired, specify on dotted line)								
X		Eurasian Patent: AM Armenia, AZ Azerbaijan, BY Belarus, KG Kyrgyzstan, KZ Kazakhstan, MD Republic of Moldova. RU Russian Federation, TJ Tajikistan, TM Turkmenistan, and any other State which is a Contracting State of the Eurasian Patent Convention and of the PCT								
		European Patent: AT Austria, BE Belgium, BG Bulgaria, CH & LI Switzerland and Liechtenstein, CY Cyprus, CZ Czech Republic, DE Germany, DK Denmark, EE Estonia, ES Spain, FI Finland, FR France, GB United Kingdom, GR Greece. IE Ireland, IT Italy, LU Luxembourg, MC Monaco, NL Netherlands, PT Portugal, SE Sweden, SI Slovenia, SK Slovakia. TR Turkey, and any other State which is a Contracting State of the European Patent Convention and of the PCT								
[X]	OA	A OAPI Patent: BF Burkina Faso, BJ Benin, CF Central African Republic, CG Congo, CI Côte d'Ivoire, CM Cameroca. GA Gabon, GN Guinea, GQ Equatorial Guinea, GW Guinea-Bissau, ML Mali, MR Mauritania, NE Niger, SN Senegal. TD Chad, TG Togo, and any other State which is a member State of OAPI and a Contracting State of the PCT (if other kind of protection or treatment desired, specify on dotted line).								
Na	tion	al Patent (if other kind of protection	or	treati	ment desired, specify on dotted line):					
		United Arab Emirates				図	NZ	New Zealand		
					Croatia	X	OM	Oman		
		Albania	X	HU	Hungary	X	PH	Philippines		
		Armenia						Poland		
Ø	ΑT	Austria	\boxtimes	IL	Israel	\boxtimes	PT	Portugal		
		Australia								
		Azerbaijan						Russian Federation		
		Bosnia and Herzegovina								
_		Barbados			Kenya					
		Bulgaria								
		Brazil						Sweden		
		Belarus		KI	of Korea					
		Belize		VD.						
		Canada			Kazakhstan					
								Tajikistan		
		& LI Switzerland and Liechtenstein						Turkmenistan		
· —		China								
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		Costa Rica						Turkey		
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		Czech Republic				E-71				
		Germany				_		United Republic of Tanzania		
		Denmark						Ukraine		
		Dominica		MI	Republic of Moldova					
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		Ecuador								
		Estonia			The former Yugoslav Republic of			Uzbekistan		
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		boxes below reserved for designating								
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Precautionary Designation Statement: In addition to the designations made above, the applicant also makes under Rule 4.9(t. 2) other designations which would be permitted under the PCT except any designation(s) indicated in the Supplemental Box as the received from the scope of this statement. The applicant declares that those additional designations are subject to confirmation and that any designation which is not confirmed before the expiration of 15 months from the priority date is to be regarded as withdrawn by the applicant at the expiration of that time limit. (Confirmation (including fees) must reach the receiving Office within the 15-month time including fees) must reach the receiving Office within the 15-month time including fees).



Sheet No. 5

Filing date Number		Where earlier application is:					
of earlier application of earlier application (day/month/year)	national application: country or Member of WTO	regional application:* regional Office	international application receiving Office				
tem(1) LO January 2002 (10.01.2002)	60/347,403	US					
tem (2)							
tem (3)							
tem (4)							
tem (5)							
Further priority claim	s are indicated in the Supplem	lental Box.	<u> </u>				
Where the earlier applica	n (1) item (2) ution is an ARIPO application,	indicate at least one count	n (4) item (5) ry party to the Paris Conv	vention for the Protection			
Where the earlier applicated by the search of the search o	ation is an ARIPO application, Member of the World Trade C ATIONAL SEARCHING AU Searching Authority (ISA) (if	indicate at least one country STHORITY Two or more International vo-letter code may be used)	ry party to the Paris Converted and the Paris Converted was for the Paris Converted was for the Paris Converted was for the Paris Pa	Supplemental Be vention for the Protection for the Protection filed (Rule 4.10(b)(ii)):			
* Where the earlier applicated industrial Property or one Box No. VII INTERNATIONAL STATES INTERNATIONAL STATES INTERNATIONAL STATES INTERNATIONAL SEARCH INTERNATIONAL SEARCH INTERNATIONAL SEARCH AUGUST AUGUST INTERNATIONAL SEARCH AUGUST INTERNATIONAL SEARCH SE	ation is an ARIPO application, Member of the World Trade Control of the Member of the World Trade Control of the Member of the World Trade Control of the Member	indicate at least one country JTHORITY Two or more International voletter code may be used that search (if an earlier	ry party to the Paris Converted and the Paris Converted was for the Paris Converted was for the Paris Converted was for the Paris Pa	Supplemental Be vention for the Protection filed (Rule 4.10(b)(ii)):			
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* Where the earlier applicated industrial Property or one Industrial Property or one Box No. VII INTERNATIONAL STATES OF International Search, indicated ISA / US. Request to use results of International Searching Autority (day/month/year) Box No. VIII DECLAR The following declaration	ATIONAL SEARCHING AU Bearching Authority (ISA) (if the Mority) chosen; the two earlier search; reference to athority): Num Num Num Num Num Num Num Nu	indicate at least one country ITHORITY Itwo or more International voletter code may be used that search (if an earlier aber Code) S. VIII (i) to (v) (mark the umber of each type of declars)	ry party to the Paris Converse earlier application was for searching Authorities are search has been carried cantry (or regional Office)	Supplemental Bovention for the Protection filed (Rule 4.10(b)(ii)):			
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Sheet No. 6

Box No. VIII (iii) DECLARATION: ENTITLEMENT TO CLAIM PRIORITY

The declaration must conform to the standardized wording provided for in Section 213; see Notes to Boxes Nos. VIII, VIII (i) to (v) (in general) and the specific Notes to Box No. VIII (iii). If this Box is not used, this sheet should not be included in the request.

Declaration as to the applicant's entitlement, as at the international filing date, to claim the priority of the earlier application specified below, where the applicant is not the applicant who filed the earlier application or where the applicant's name has changed since the filing of the earlier application (Rules 4.17(iii) and 51bis.1(a)(iii)):

Declaration as to the Applicant's entitlement, as at the International Filing Date, to claim the priority of the earlier Application specified below, wehre the Applicant is not the Applicant who filed the Application (Rules 4.17(iii) and 51bis.1(a)(iii)):

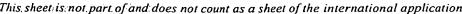
in relation to this International Application, New England Biolabs, Inc. is entitled to claim priority of earlier Application No. 60/347,403 by virtue of the following:

- (i) New England Biolabs, Inc. is entitled as employer of inventors: James C. Samuelson and Shuang-yong Xu;
- (iii) an Assignment from James C. Samuelson and Shuang-yong Xu to New England Biolabs, Inc. dated 10 January 2002 and recorded with the United States Patent Office under Reel 012484/Frame No. 0298
- (iii) this Declaration is made for the purposes of:(a) all designations except the United States.

This declaration is continued on the following sheet, "Continuation of Box No. VIII (iii)".



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FEE CALCULATION SHEET Annex to the Request	For receiving Office use only International Application No.
Applicant's or agent's file reference NEB-198-PCT	Date stamp of the receiving Office
Applicant NEW ENGLAND BIOLABS, INC. SAMUELSON, James C. XU, Shuang	g-yong
CALCULATION OF PRESCRIBED FEES	
1. TRANSMITTAL FEE	
2 SEARCH FEE International search to be carried out by US (If two or more International Searching Authorities are competent to carry of search, indicate the name of the Authority which is chosen to carry out the in	ut the international international search.)
3. INTERNATIONAL FEE Basic Fee	
Where item (b) of Box No. IX applies, enter Sub-total number of s Where item (b) of Box No. IX does not apply, enter Total number	
bl first 30 sheets	407.00 b1
$ \begin{array}{c ccccccccccccccccccccccccccccccccccc$	225.00 b2
number of sheets fee per sheet in excess of 30	
b3 additional component (only if sequence listing part of descrip is filed in computer readable form under Section 801(a)(i), or both in that form and on paper, under Section 801(a)(ii)):	ption
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Designation Fees The international application contains 94 designations.	(10.00
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number of designation fees amount of designation fee payable (maximum 5)	
Add amounts entered at B and D and enter total at I	1072.00
(Applicants from certain States are entitled to a reduction of 75 international fee. Where the applicant is (or all applicants are) so entitle to be entered at 1 is 25% of the sum of the amounts entered at 8 and L	d, the total D.)
4. FEE FOR PRIORITY DOCUMENT (if applicable)	30.00 P
5. TOTAL FEES PAYABLE	1,792.00
Add amounts entered at T, S, I and P, and enter total in the TOTAL	box TOTAL
The designation fees are not paid at this time.	
MODE OF PAYMENT	
authorization to charge postal money order	cash coupons
X cheque bank draft	revenue stamps other (specify):
AUTHORIZATION TO CHARGE (OR CREDIT) DEPOSIT ACC (This mode of payment may not be available at all receiving Offices)	COUNT Receiving Office: RO/ US
Authorization to charge the total fees indicated above.	Deposit Account No.: 14-0740
(This check-box may be marked only if the conditions for deposit acco- of the receiving Office so permit) Authorization to charge any deficit or credit any overpayment in the total fees indicated above.	nunts ency Name: Harriet M. Strimpel, D.Phil.
TY	<u> </u>

Authorization to charge the fee for priority document.

Form PCT/RO/101 (Annex) (January 2002; reprint July 2002)

See Notes to the fee calculation sheet

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Box No. IX CHECK LIST; LANGUAGE C	OF FILING	
This international application contains: (a) the following number of sheets in paper form:	This international application is accompanied by the following item(s) (mark the applicable check-boxes below and indicate in right column the number of each item):	Number of items
request (including	1. 🛛 fee calculation sheet	: 1
declaration sheets) : 7	2. original separate power of attorney	:
description (excluding sequence listing part) : 35	3. original general power of attorney	:
claims : 1	4. copy of general power of attorney; reference number,	1
abstract : 1	if any:	•
drawings : 8	5. statement explaining lack of signature	:
Sub-total number of sheets: 52	6. priority document(s) identified in Box No. VI as item(s):	:
sequence listing part of description (actual number of sheets if filed in paper	7. translation of international application into (language):	; .
form, whether or not also filed in computer readable	8. separate indications concerning deposited microorganism or other biological material	:
form; see (b) below) : 3 Total number of sheets : 55	9. Sequence listing in computer readable form (indicate also type and number of carriers (diskette, CD-ROM, CD-R or other))	
(b) sequence listing part of description filed in computer readable form	(i) copy submitted for the purposes of international search under Rule 13ter only (and not as part of the	ı
(i) only (under Section 801(a)(i))	international application)	:
(ii) ☐ in addition to being filed in paper form (under Section 801(a)(ii))	 (ii) (only where check-box (b)(i) or (b)(ii) is marked in left column) additional copies including, where applicable the copy for the purposes of international search under 	, [
Type and number of carriers (diskette, CD-ROM, CD-R or other) on which the sequence listing part is contained (additional copies to be indicated under item 9(ii), in	Rule 13ter (iii) 🔯 together with relevant statement as to the identity of the copy or copies with the sequence listing part mentioned in left column	: 4^
right column): disk	10. 🛛 other (specify): check in the amount of \$1.7	92.00
Figure of the drawings which	Language of filing of the	
should accompany the abstract:	international application: English	
	T, AGENT OR COMMON REPRESENTATIVE ming and the capacity in which the person signs (if such capacity is not obvious from rea	ding the requestion
6-	James (Sumuelson	
NEW ENGLAND PLOYARG THO		
- NEW ENGLAND BIOLABS, INC Applicant	Applicant/Inventor	
Gregory D. Williams	Applicant, inventor	
Secretary	537/1	
	XU, Shuang-yong	
	Applicant/Inventor	
	•	
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Date of actual receipt of the purported		Drawings:
international application:		
Corrected date of actual receipt due to later timely received papers or drawings complet the purported international application:		received:
Date of timely receipt of the required corrections under PCT Article 11(2):		not received
5. International Searching Authority (if two or more are competent): ISA /	6. Transmittal of search copy delayed until search fee is paid	·
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